

# Compliance Audits



## Risk Management Program

June 26-28, 2007  
Richland, Washington

# Compliance Audits

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- ❑ Certification required at least once every 3 years
- ❑ Responses to the audit findings must be documented and tracked
- ❑ Overall expectation that improvements are made thru self-discovery

# Compliance Audit

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- Has the owner/operator certified that the stationary source has evaluated compliance with the provision of the prevention program at least every **three years** to verify that the developed procedures and practices are adequate and being followed

# Compliance Audit

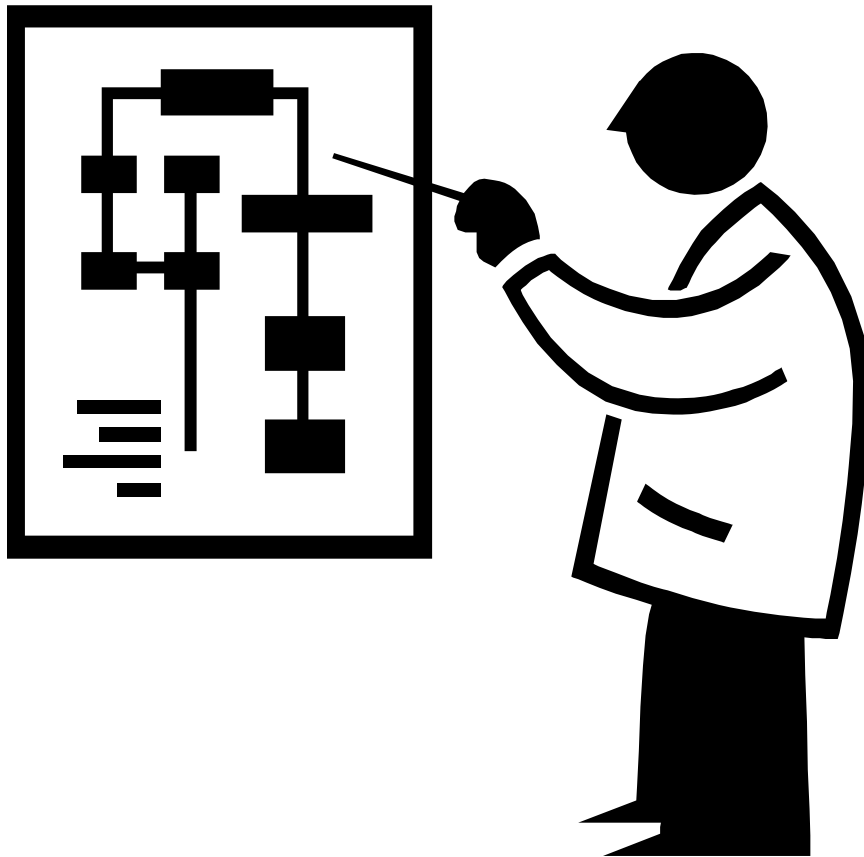
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- ❑ Conducted by at least one person knowledgeable of the process
  - Usually have at least three (process engineer, operator, and manager)
- ❑ Audit findings must be documented in a report
  - Must be used as a learning tool!



# Compliance Audit

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- ❑ Must document all appropriate responses to each of the **findings** of the audit and document that the **deficiencies** had been corrected?
- ❑ Must retain two most recent compliance reports (a total of 9 years worth of reports)